



## POLICY & PROCEDURE DOCUMENT

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DIVISIONS: Academic Affairs, Research

TITLE: Faculty Workload and Compensation

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### I. Purpose and Scope

This policy establishes accounting procedures for the workload associated with various activities in which faculty may be engaged, including work on extramurally funded grants and contracts and work performed outside of Western Kentucky University (WKU) employment – for example consulting for external agencies. It also establishes criteria under which additional compensation, over and above the base salary, may be earned.

### II. Policy

#### A. Definitions

1. Academic Year - The academic year begins on the Monday that is three (3) weeks before Labor Day and ends on the Friday after the spring grade submission deadline not to exceed two hundred eighty (280) continuous, calendar days with payments (compensation) made (in equal installments on the last working day of each month) July 1 to June 30.
2. ~~“Base Salary”,~~ Base Salary - ~~also termed institutional base salary (IBS),~~ is the annual monetary compensation salary that the institution pays provides in the form of a salary for an individual’s appointment, ~~whether that individual’s time is spent on research, teaching, administration, or other activities.~~ Base salary excludes any income that an individual may be permitted to earn outside of the responsibilities and duties required as part of their primary appointment to the applicant organization. Base salary may be based on a nine-month appointment, ten-month appointment, eleven-month appointment, or a twelve-month appointment, or an appointment of another duration as

approved by the Provost (or designee).

3. **“Conflict of interest” Conflict of interest** - is a situation in which activities carried out by a university employee conflict with the interests of the university, because the best interests of the employee and/or those for whom they work may conflict with those of WKU.

Examples of areas of conflict that may arise include but are not limited to:

**Teaching** - Persons holding full-time academic appointments at WKU are expected to devote their teaching efforts primarily to the education of WKU students. Faculty members may not hold a regular faculty appointment at another institution, except in connection with a WKU-sponsored joint program with that institution, or similar arrangement as approved by their Dean. During the academic year, they should not teach a course, or a substantial portion of a course, at or for another institution or organization without the advance permission of their Dean. This policy should be followed regardless of whether the activity is conducted in person or through some form of electronic communication.

**Research** - Persons holding full-time academic appointments should, at all times, conduct their research in a manner befitting a member of the University. They should observe the applicable policies regarding conflicts of interest/commitment and related matters. Research appointments at another university or academic institution may be accepted only with advance permission of the responsible Dean. Projects on which a WKU academic appointee serves as a principal investigator or in an analogous role should be administered through the University unless the responsible Dean has specifically granted an exception where appropriate.

**Consulting and Related Service Activities** - Academic appointees should not engage in paid consulting or service at or for another educational institution or other organization without prior approval from their Dean and in accordance with University published policy and procedures.

4. **“Conflict of commitment” Conflict of Commitment** - is a situation in which activities carried out by a university employee conflict with the duties and obligations of ~~his/her~~ **their** university appointment, principally because the commitment of time to other activities may compromise the time available to properly carry out duties related to a WKU appointment. **In undertaking consulting and related outside professional activities, faculty members and other academic appointees should take care to observe the limits on the amount of time properly devoted to such activities and to avoid situations in which the activities may create a conflict with their responsibilities as an employee of the University.**

**“Effort” Effort** - is a measure of total work spent in university-related activities. It is not measured in hours or days, but rather in percentages and months. **Overload teaching assignments do not affect effort reporting.**

5. The overall effort of a faculty member may include teaching, research/~~creative activity,~~ and service ~~activities,~~ and it may be conducted during normal university hours and/or at other times. ~~Total effort (100%) for standard nine-month faculty appointments typically is determined by beginning with a 4/4 teaching load with no research and no service obligations. This teaching load is then reduced based on service, research, and other expectations (including, but not limited to section size, number of courses, and course preparations). It is the responsibility of the department chair/director (or designee) to work with their respective faculty to ensure each is assigned a workload that results in a mix of teaching, service, research/creative activity (where applicable), and additional duties conducive to student success and the overall strategic alignment of the university, college, and department/school. For faculty with nine-month appointments, the total effort will sum to one month for any month during the academic year (August 15 through May 15) and to a value up to, but not exceeding, three months for the summer period. Policy 1.512V (see also II.E.2.b.ii below) addresses university-related effort for faculty with administrative appointments greater than nine months in duration.~~ In all cases, the total effort expended on all ~~pertinent (see II.F) activities, including teaching, research, service and administration,~~ shall not exceed twelve (12) months in any fiscal year (July 1 through June 30). ~~See section II.B on departments' establishment of base teaching loads.~~
6. "Effort certification" is a mechanism through which the fraction of overall effort devoted to various tasks is reported. It is a required element of any effort that is compensated by external contracts and grants.
7. "Fee-for-Service Contracts" are externally funded contracts for which, *de facto*, the university acts as a "broker" for consulting services provided by faculty to outside agencies. ~~Effort expended on fee-for-service contracts is considered inside of effort.~~
8. Fellowships and Awards - faculty fellowships are typically designed to provide faculty members with an opportunity for professional development and/or to serve in various leadership roles. Fellowships such as those awarded by the Center for Innovative Teaching and Learning (CITL) may either be compensated "in effort" via course release or other workload adjustments, or "outside of effort" via stipend. Funds for course releases will be dispersed directly to the department. Compensation for fellowships "outside of effort" will be paid to the faculty member via the University payroll process. All faculty must collaborate with their department chair/director to determine which option is most appropriate."
9. "Outside of Effort" refers to activities that do not constitute part of the 100% effort.
10. "Overload" refers to activities ~~that occur during the period associated with the base contract (e.g., nine-month academic year),~~ which are above and beyond ~~the normal expectations associated with the base salary~~ the ~~standard expectations of an individual's appointment.~~ Examples include teaching over and above the expected load during the Fall or Spring semester ~~or teaching during the Winter Term.~~ Such activities can result in compensation in excess of the base salary for the period in question.
11. "Research" means research, scholarship and creative activities performed by a faculty member. Such research may or may not be sponsored by an external award, such as a contract, grant, or fee-for-service contract.

12. "Stipend" is a form of additional compensation for temporary position assignments. Stipends are not related to a distribution of effort, but rather to the type of work being performed. For example, a faculty member may receive a stipend for assuming temporary duties as an interim department chair/director, or for a period of time as a result of appointment as a University Distinguished Professor.
13. "Summer Session Term" refers to the period between mid-May and mid-August, during which classes are held within a variety of sessions and must be considered as part of the additional one to three months of effort that may be expended during the fiscal year (see Section II.A.5. above).
14. "Winter Session Term" is the period between Fall and Spring semesters during the academic year, in which classes are offered. All faculty and department chairs/directors are considered "on load" or "on appointment" during the winter session regardless of whether they are assigned to teach. Teaching during the winter session is considered outside of effort (does not constitute part of the standard nine-month faculty workload) and is compensated via supplemental pay.

#### B. Teaching During the Fall and Spring Semesters

Each department is responsible for establishing a typical base teaching load (see Section II.A.5) for the faculty within the department and for establishing the equivalencies associated with reductions from that base load. A document clearly outlining the base load and the reduction equivalencies should be available to faculty within the department.

1. For all faculty members, the expected distribution of all effort-related workload throughout the term of the base appointment (e.g., academic year for faculty with nine-month or ten-month appointments, fiscal year for faculty with eleven-month or twelve-month administrative appointments) should be clearly established in advance through the appointment and annual evaluation processes. In order to clearly show any redistribution of effort from teaching activities, or to justify overload assignments, particular attention should be devoted to establishing the teaching workload. This expected distribution of workload shall total 100% of effort and should be recorded in a file in the office of the department in which the faculty member's primary appointment is held. This may differ from one faculty member to another and may change from year to year by mutual consent of the faculty member and department chair/director.
2. Faculty members are entitled to additional pay for overload teaching if that teaching need meets all three of the following criteria:
  - a. The overload teaching must be irregular – additional teaching beyond the expected load should be sporadic in nature and neither an expectation of the faculty member nor a regular assignment by the department chair/director. Overloads may not be issued on a recurring basis.
  - b. The assignment of the instructor is unavoidable – the needed class, or another part of the faculty member's teaching assignments, could not readily be assigned to another qualified instructor as part of the other instructor's established teaching load; and

c. The teaching is **either**:

- i. unanticipated – a need for an instructor arose under circumstances that could not reasonably have been anticipated by the department chair/director; **or**
- ii. temporary – the satisfaction of a teaching need such as the introduction of a new course being taught on a trial or interim basis, the teaching of courses with limited enrollment in anticipation of full enrollment in due course, or a course intended to be offered for a limited period of time.

3. A faculty member will normally be compensated for overload teaching at the established University rate per credit hour, established annually by Provost in July of \$1,000 per credit hour. Overload shall be determined on an academic year basis. For example, if an overload is to be assigned for the fall semester, then a reduction in workload for the spring semester is appropriate to ensure the total academic year effort does not exceed 100%.

All overload assignments must be approved by the dean (or designee). All overloads in excess of \$5,000 must be approved by the Office of the Provost (or designee) in advance of the overload being assigned. Overload teaching assignments do not affect effort reporting.

~~4. A faculty member will normally be compensated for overload teaching at established rates. Alternatively, with mutual agreement among the faculty member, department chair/director and dean, a faculty member may receive a commensurate reduction in teaching in a subsequent Fall or Spring semester.~~

### C. Summer Session Term Assignments, Effort and Compensation

1. Consistent with II.E.2.b.i, faculty on nine-month contracts may expend a maximum of three months of effort during the Summer Session Term.
2. Teaching during the Summer Session Term involves an expenditure of effort equal to one-quarter of a month per credit hour taught (with a possible proportional reduction in effort for internships and practica that carry reduced weight; see Policy 1.212V). Hence, a faculty member on a nine-month contract may teach up to a maximum of twelve credit hours (including possible weightings for internships and practica) during any Summer Session Term.
3. For Summer Session Term teaching assignments, a faculty member will be compensated in accordance with Policy 1.212V.
4. Compensation for faculty performing non-teaching duties, funded from internal University sources, during the Summer Session Term will be at a rate commensurate with the base salary for the month in question. The amount of effort expended on such activities will be factored into the overall amount of effort expenditure for the Summer Session Term.

5. Faculty teaching twelve credit hours during the summer should not teach a course, or a substantial portion of a course, at or for another institution or organization without the advance permission of their Dean (see Section II.A.3. "Conflict of Interest" and Section II.A.4. "Conflict of Commitment" for additional information).

D. Winter Session Term Teaching Assignments, Effort and Compensation

1. Faculty may teach a maximum of four credit hours (with appropriate weightings for internships and practica) during the Winter Session Term.
2. Teaching during the Winter Session Term is normally treated as overload and does not affect effort reporting.
3. For Winter Session Term teaching assignments, a faculty member will be compensated in accordance with Policy 1.212V.

E. Activities Sponsored by External Contracts and Grants

As required by Uniform Guidance 2 CFR 200.430, salary/wage charges to Federal awards must be based on records that accurately reflect work performed and be supported by internal controls that provide reasonable assurance that charges are accurate, allowable, and properly allocated. Budget estimates alone do not qualify as support for charges to awards. After-the-fact review is needed to make necessary adjustments.

1. Academic Year

a. According to Uniform Guidance 2CFR200.430(h)(2)

"Charges for work performed on federal awards by faculty members during the academic year are allowable at the institutional base salary (IBS) rate. Except as noted in incidental activities, in no event will charges to federal awards, irrespective of the basis of computation, exceed the proportionate share of the IBS for that period."

- i. In consultation with the department chair/director, activity on sponsored projects must be factored into the overall workload for the faculty member involved.
  - ii. During the nine-month academic year, activity on sponsored projects is generally considered part of the overall effort and consequently entails no additional compensation to the faculty member. Nonetheless, effort may be charged to a sponsoring agency such that a fraction of the academic year salary is paid by the sponsoring agency rather than WKU E&G funds.
- b. Uniform Guidance 200.430 also provides that prior approval must be obtained from the federal awarding agency. Charges of a faculty member's salary to a federal award must not exceed the proportionate share of the IBS for the period during which the faculty member worked on the award.

- i. Faculty members who seek supplementary pay for such “unusual” activities during the academic year should ensure that the necessary approvals from both the Office of Research and Creative Activity and the sponsoring agency have been secured in writing, and in advance of the proposed activity.

## 2. Summer Session Term

Uniform Guidance 200.430 (h)(5)(i),

“Except as specified for teaching activity, charges for work performed by faculty members on federal awards during periods not included in the base salary period will be at a rate not in excess of the IBS.”

- a. As stated in II.A.4, the total effort for the academic year and Summer Session(s) Term combined shall not exceed twelve (12) months.

- i. *Faculty with nine-month (academic-year) appointments*

The total effort during Summer Session Term shall not exceed three months.

- ii. *Faculty with administrative appointments greater than nine months in duration*

The amount of effort during the Summer Session Term is determined by the salary conversion factor associated with the administrative appointment. For example, for a faculty member holding a twelve-month appointment with an 11/9 salary conversion factor, eleven months of effort (9 months at 100% during the academic year, three months at 67% effort during the Summer Session Term) is devoted to the administrative appointment, leaving one month of effort (33%) for other tasks. Any additional compensation for non-administrative effort must be in accordance with Policy 1.512V, “Annual Compensation for Faculty with Administrative Appointments.”

## 3. Winter Session Term

During the Winter Session, a faculty member may participate in sponsored project activities. Such activities are considered part of the overall academic year effort and consequently do not entail additional compensation.

## F. Activities Outside of Effort or Not Involving Reportable Effort

In general, activities, whether or not for compensation, may be performed either “outside of effort” or “not involving effort.” Examples of such activities are described below. In order that possible issues related to conflict of interest or conflict of commitment (see Section II) may be resolved, all such activities must be disclosed in accordance with III.F.1.

### 1. Activities Outside of Reportable Effort

The following activities are considered as work outside the 100% annual effort:

- a. consulting for outside agencies; ~~and~~
- b. ~~activities on fee-for-service contracts;~~
- c. overload teaching assignments; ~~and~~
- d. ~~winter session teaching assignments.~~
- e. ~~DELO contracts that include outside-of-effort agreements such as developing and delivering online and independent learning courses, dual credit academic liaisons, cohort program coordination, and non-credit training and facilitation.~~

Activities outside of reportable effort are limited to one day per week during any period in which 100% university effort is expended (~~e.g., August 16—May 15 for faculty with nine-month appointments~~). For other periods (e.g., Summer ~~Session Term~~), activities outside of effort are generally not restricted. However, if reportable WKU effort is expended during these other periods, the amount of allowed outside-of-effort activity is correspondingly and proportionately reduced.

## 2. Compensation Not Involving Reportable Effort

The following types of additional compensation are considered salary enhancements. They require neither a commitment nor a reporting of effort.

- a. stipends associated with interim administrative appointments;
- b. salary supplements associated with endowed chairs/professorships;
- c. stipends associated with University Distinguished Professorships;
- d. salary supplements associated with the Faculty Incentive Program (FIP);
- e. other assignments that are approved by the Provost as not involving effort.

## III. Procedure

### A. Compensation General

~~Compensation for teaching and other assignments shall be submitted through the appropriate administrative process(es) as determined by the Office of the Provost in conjunction with the Departments of Human Resources and Payroll. This section specifies the various reporting procedures for the types of work and/or effort of Section II. While the various types of forms and administrative routings cited herein are accurate as of the implementation date of this policy, it is recognized that these may change in the future, and such changes shall not be considered as changes to this Policy.~~

### ~~B. Additional Teaching During the Fall and Spring Semesters~~



- ~~1. For faculty teaching overloads during the fall or spring semesters, the department chair/director should submit compensation a Form 16 through the administrative process to the Office of Academic Affairs. This form should clearly indicate that the requirements of II.B.2 have been addressed.~~
- ~~2. Compensation, from an appropriate E&G account, will be added through the regular WKU payroll process.~~

#### C. Summer Term

- ~~1. For faculty teaching during the Summer Term, the department chair/director should submit a Special Instructional Assignments (SIA) form through channels to the Office of Academic Affairs. The Office of Academic Affairs will note the associated expenditure of effort per II.C.2 and will coordinate with the Division of Extended Learning and Outreach Summer Term Office and the Office of Sponsored Projects (see III.E.2.a) to ensure that the total effort expended during the Summer Term does not exceed the limits set in II.E.2.b.~~
- ~~2. For faculty performing non-teaching activities during the Summer Term that are funded from internal accounts, the department chair/director should submit a Form 16 through channels to the Office of Academic Affairs. The Office of Academic Affairs will note the associated expenditure of effort per II.C.4 and will coordinate with the Division of Extended Learning and Outreach Summer Term Office and the Office of Sponsored Projects (see III.E.2.a) to ensure that the total effort expended during the Summer Term does not exceed the limits set in II.E.2.b.~~
- ~~3. Compensation for summer activities will be added through the regular WKU payroll process.~~

#### D. Winter Term

- ~~1. For faculty teaching during the Winter Term, the department chair/director should submit a Special Instructional Assignments (SIA) Form through channels to the Office of Academic Affairs, who will verify that the total teaching assignment for the Winter Term does not exceed the limits set in II.D.1.~~
- ~~2. Compensation, from the Winter Schedule budget, will be added through the regular WKU payroll process.~~

#### E. Activities Sponsored by External Contracts and Grants

1. Academic Year (Fall and Spring Semesters plus Winter Session)
  - Sponsored program activity during the academic year should be reported in accordance with Policy 3.268V/2.268V as a labor distribution on an Electronic Personnel Action Form (EPAF).
  - ~~Any effort expended on a sponsored project must be verified after the fact, using the faculty and professional staff effort certification form at <http://www.wku.edu/Dept/Support/FinAdmin/faforms.htm>. Such reports should~~

~~be filed within the first ten days following a month in which sponsored project effort was expended.~~

~~c. If the after the fact effort report conflicts with the EPAF for the period in question, funds shall be internally reallocated in accordance with the after the fact effort report.~~

~~2. Summer Term~~

~~a. Summer effort on sponsored programs should be reported at least two weeks in advance of the activity on a Form 16 and routed through the Office of Sponsored Programs to the Office of Academic Affairs. The Office of Academic Affairs will verify that the amount of effort requested is available, taking into consideration any effort expended on other duties during the Summer Term, e.g., teaching (see II.C.2, and administrative duties.~~

~~b. In accordance with federal regulation OMB-A21, any effort expended on a sponsored project must be verified after the fact, using the form at <http://www.wku.edu/Dept/Support/FinAdmin/faforms.htm>. Such reports should be filed within the first ten days following a month in which sponsored project effort was expended.~~

~~c. If the after the fact effort certification report conflicts with the Form 16, funds shall be reallocated in accordance with the after the fact effort certification report using internal funds as necessary and/or appropriate.~~

F. Compensation for Activities Outside of Effort or Not Involving Effort

For additional compensation involving activities outside of effort, or not involving effort, the following procedures should be used.

1. Activities Outside of Effort

Participation in activities outside of effort are subject to the limits of II.F.1. Participation should be disclosed at least two weeks in advance of the proposed activity by submitting the **Consulting, Outside Employment and Other Professional Activities** form, available at <https://intranet.wku.edu/php/prod/wkuforms/source/WKUFormsCreateInst.php?form=FacultyConsulting>, through the department chair/director and dean to the Office of the Provost. Such submissions should occur at least annually, and when any significant changes in the types of activity conducted are anticipated.

As applicable, the following additional procedures should be followed:

a. Consulting for Outside Agencies

Other than submission of the **Consulting, Outside Employment and Other Professional Activities** form, no other university procedures are involved. Note that volunteer / *pro bono* work should also be disclosed. ~~Any compensation will generally occur outside of the WKU payroll system.~~

~~b. Activities on Fee for Service Contracts~~

~~Participation in activities on fee for service contracts should be disclosed at least two weeks in advance by submitting a Form 16 to the Office of Sponsored Programs, ideally as part of the annual disclosure process. The number of days devoted to such approved activities should be reported after the fact. After this report has been received, additional compensation, at a level consistent with base pay and the duration of the base appointment, will be added through the established processes WKU payroll system.~~

~~c. Overload Teaching~~

~~A Form 16 should be submitted to the Office of Academic Affairs. For Fall and Spring overload assignments, the form should note the base teaching load established for the semester in question in accordance with II.B.1.~~

~~d. DELO Contracts~~

~~For DELO contracts that include outside of effort agreements such as developing and delivering online and independent learning courses, dual credit academic liaisons, cohort program coordination, and non-credit training and facilitation, a Form 16 should be submitted to Academic Affairs.~~

~~2. Compensation Not Involving Effort~~

~~a. Stipends associated with interim administrative appointments~~

~~This amount is reflected in the employee's EPAF.~~

~~b. Salary supplements associated with Endowed Chairs/Professorships~~

~~A Form 16 will be processed by the pertinent college office.~~

~~c. Stipends associated with University Distinguished Professorships.~~

~~A Form 16 will be initiated by the Office of Academic Affairs.~~

~~d. Overload Teaching Assignments.~~

~~Form 16 should be submitted to Academic Affairs.~~

~~e. Salary supplements associated with the Faculty Incentive Program~~

~~Form 16 should be submitted to Academic Affairs.~~

~~f. Other Assignments Approved as Overload~~

~~The procedure for such assignments will be determined on a case-by-case basis.~~

**IV. Related Policies**

1.212V **Administering** Summer **Sessions** and Winter **Session Teaching**

1.512V Annual Compensation for Faculty with Administrative Appointments

#### 4.4500 Consulting and Other Professional Responsibilities

##### **V. Reason for Revision**

###### May 2013

Sections II.C.2 and II.D.1 revised to allow for weighting of workload relative to academic credit for internships and practica.

###### April 2016

Updated to reflect adoption of OMB 2CFR Part 200 Uniform Administrative Requirement, Cost Principles and Audit Requirements for Federal Awards.

###### July 2024

Updates clarify current practices concerning how faculty workloads are determined and eliminated specific process related language.